

PTO/SB/01a (10-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN
APPLICATION DATA SHEET (37 CFR 1.76)****TITLE OF INVENTION: ACETYLATED TAT POLYPEPTIDES AND METHODS OF USE THEREOF**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
☒ Application No. 10/799,854 filed on March 12, 2004,

☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application, if applicable; and.

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor one: DÖRR, ALEXANDER P.Signature:  Citizen of: GermanyJune 25, 2004Inventor two: OTT, MELANIESignature: _____ Citizen of: GermanyInventor three: VERDIN, ERICSignature: _____ Citizen of: Belgium

☐ Additional inventors are being named on <<TEXT>> additional form(s) attached hereto.

Burden Hour Statement: This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450 Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

SEND TO: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450.

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DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

TITLE OF INVENTION: **ACETYLATED TAT POLYPEPTIDES AND METHODS OF USE THEREOF**

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FULL NAME OF INVENTOR(S)

Inventor one: DÖRR, ALEXANDER P.

Signature: _____ Citizen of: Germany

Inventor two: OTT, MELANIE

Signature: Melanie Ott Citizen of: Germany

Inventor three: VERDIN, ERIC

Signature: _____ Citizen of: Belgium

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FULL NAME OF INVENTOR(S)

Inventor one: DÖRR, ALEXANDER P.

Signature: _____ Citizen of: Germany

Inventor two: OTT, MELANIE

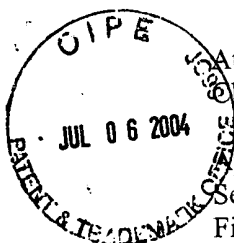
Signature: _____ Citizen of: Germany

Inventor three: VERDIN, ERIC

Signature:  Citizen of: Belgium

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Attorney Docket No. UCAL-296
Client Reference No. 2003-171-2

Applicant: DÖRR, ALEXANDER P. et al.
Serial No. 10/799,854
Filed: March 12, 2004
For: "ACETYLATED TAT POLYPEPTIDES AND METHODS OF USE THEREOF"
Group: 1645
Examiner: To Be Assigned

**POWER OF ATTORNEY BY ASSIGNEE
AND EXCLUSION OF INVENTOR(S) UNDER 37 C.F.R. § 3.71**

Dear Sir:

The undersigned assignee of the entire interest in the above-identified subject application hereby appoints practitioners related to customer number:



24353

as its attorney(s) to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorney(s) in accordance with the provisions of 37 C.F.R. § 3.71.

An assignment of the entire interest in the above-identified subject application:



was recorded on at reel/frame /.



is submitted herewith for recording.

Please direct all telephone calls to Paula A. Borden at (650) 833-7710 and all correspondence relative to said application to the following address:

BOZICEVIC, FIELD & FRANCIS LLP
200 Middlefield Road, Suite 200
Menlo Park, California 94025

Dated:

July 6, 2004

ASSIGNEE: THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

Signature:

Linda S. Stevenson

Typed Name:

Linda S. Stevenson

Title:

Manager, Patent Prosecution

Office of Technology Transfer
1111 Franklin Street, 12th Floor 5th FLOOR
Oakland, California 94607-5200

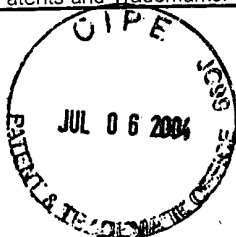
RECORDATION FORM COVER SHEET
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office
Atty Docket No.: UCAL-296

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

VERDIN, ERIC



2. Name and address of receiving party(ies)

Name: The Regents of the University of California

Internal

Address: 1111 Franklin Street, 12th Floor

Street Address:

City: Oakland State: CA Zip: 94607-5200

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other _____

Execution Date: June 14, 2004

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

10/799,854

B. Patent Registration No.(s)

Additional number(s) attached ☐ Yes ☐ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Bozicevic, Field & Francis LLP

Internal Address: 200 Middlefield Road, Suite 200

City: Menlo Park State: California Zip: 94025

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41)..... \$40.00

☐ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit account number:

50-0815

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Paula A. Borden, Reg# 42,344

Name of Person Signing

Signature

07/06/2004

Date

Total number of pages including cover sheet, attachments, and document: 3 (including duplicate for fees)

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patent & Trademarks, Box Assignments
Washington, D.C. 20231

ASSIGNMENT

U.C. Case No. 2003-171-2

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. VERDIN, ERIC

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin Street, Twelfth Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest in the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

"ACETYLATED TAT POLYPEPTIDES AND METHODS OF USE THEREOF"

and which is found in

- (a) _____ U.S. provisional application filed herewith and listing the above named persons as inventors
- (b) _____ U.S. patent application filed herewith and listing the above named persons as inventors
- (c) X _____ U.S. application serial no. 10/799,854, filed on March 12, 2004
- (d) _____ U.S. Patent No.: issued

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this Signature of Inventor(s)

1) 14 day of June, 2004 Eric Verd VERDIN, ERIC
14 June Eric Verd